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22278 U.S.PTO  
10/729509

120803

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	
First Inventor	James E. Chitwood
Title	High Power Umbilicals For Electric Flowline Immersion Heating ...
Express Mail Label No.	EU 832 621 144 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:  
Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 167]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [Total Sheets 48]
5. Oath or Declaration [Total Sheets 6]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76
7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  Paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  Power of (when there is an assignee)  Attorney
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15.  Certified Copy of Priority Document(s)
16.  (if foreign priority is claimed)
17.  Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- Other: 1.  Certificate of Deposit.....  
2.  Return Receipt Post Card.....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation  Divisional  Continuation-in-part (CIP) of prior application No.: 10/223,025.....Prior application information: Examiner Giovanna M. Collins Art Unit: 3672  
For CONTINUATION OF DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number:	<u>24245</u>		<input type="checkbox"/> Correspondence address below
Name	William Banning Vail III		
Address	3123 - 198th Place S.E.		
City	Bothell	State	WA
Country	U.S.A.	Telephone	425-486-8789
Name (Print/Type)	William Banning Vail III	Registration No. (Attorney/Agent)	
Signature	<u>William Banning Vail III</u>		Date <u>12/4/2003</u>

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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# FEE TRANSMITTAL

## for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$ 514.00)
**Complete if Known**

Application Number	
Filing Date	
First Named Inventor	James E. Chitwood
Examiner Name	
Art Unit	
Attorney Docket No.	

**METHOD OF PAYMENT (check all that apply)**
 Check  Credit card  Money Order  Other  None

 Deposit Account:

Deposit Account Number	50-0499
Deposit Account Name	Vails Inventions

The Director is authorized to: (check all that apply)

Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) or any underpayment of fee(s)  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 770	2001 385	Utility filing fee	385.00
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
<b>SUBTOTAL (1)</b>		<b>(\$ 385.00)</b>	

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

	Extra Claims	Fee from below	Fee Paid
Total Claims	6	-20** = 0	0.00
Independent Claims	6	-3** = 3	43.00
Multiple Dependent			= 129.00

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b>		<b>(\$ 129.00)</b>

\*\*or number previously paid, if greater; For Reissues, see above

**3. ADDITIONAL FEES**

Large Entity	Small Entity	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	
Other fee (specify) _____			
*Reduced by Basic Filing Fee Paid		<b>SUBTOTAL (3)</b>	<b>(\$)</b>

(Complete if applicable)

Name (Print/Type)	William Banning Vail III	Registration No. (Attorney/Agent)		Telephone	425-486-8789
Signature	William Banning Vail III		<th>Date</th> <td>12/4/2003</td>	Date	12/4/2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Rig-2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Certificate of Deposit by "Express Mail"

Express Mail Number: EU 832 621 144 US

Date of Deposit: December 4, 2003

I hereby certify that this paper or fee is being deposited with the United States Postal Service using "Express Mail Post Office to Addressee" Service under 37 CFR § 1.10 on the date indicated above and is addressed to the "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450."

Signed: Marilyn L. Vail  
Marilyn L. Vail

TYPE OF DOCUMENT: Utility Patent Application entitled:

**" HIGH POWER UMBILICALS FOR ELECTRIC FLOWLINE IMMERSION HEATING OF PRODUCED HYDROCARBONS "**

1                   IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2  
3                   Certificate of Deposit by "Express Mail"  
4                   Express Mail Number: EL 832 621 144 US  
5                   Date of Deposit: December 4, 2003

6                   I hereby certify that this paper or fee is being  
7                   deposited with the United States Postal Service using  
8                   "Express Mail Post Office to Addressee" Service under  
9                   37 CFR § 1.10 on the date indicated above and is  
10                  addressed to the "Mail Stop Patent Application, Commissioner  
11                  for Patents, P.O. Box 1450, Alexandria, VA 22313-1450."

12                  Signed: Marilyn L. Vail

13                  Marilyn L. Vail

14  
15  
16                   TRANSMITTAL LETTER FOR PATENT APPLICATION WITH REMARKS

17                  December 4, 2003

18  
19                  Commissioner for Patents  
20                  P.O. Box 1450  
21                  Alexandria, VA 22313-1450

22  
23                  Dear Sir:

24  
25                  Please file the following enclosed patent application  
26                  papers:

27  
28                  FIRST NAMED INVENTOR:    JAMES E. CHITWOOD

29  
30                  SECOND NAMED INVENTOR:    WILLIAM BANNING VAIL III

31  
32  
33                  TRANSMITTAL LETTER WITH  
34                  REMARKS FOR PATENT APPLICATION  
35                  ENTITLED "HIGH POWER UMBILICALS  
36                  FOR ELECTRIC FLOWLINE IMMERSION  
37                  HEATING OF PRODUCED HYDROCARBONS"

**TITLE:** "HIGH POWER UMBILICALS FOR ELECTRIC FLOWLINE  
IMMERSION HEATING OF PRODUCED HYDROCARBONS"

**TYPE APPLICATION:** C.I.P. APPLICATION OF U.S. PATENT  
APPLICATION SERIAL NO. 10/223,025

**PAGES OF SPECIFICATION, CLAIMS, ABSTRACT:** 167

SHEETS OF FORMAL DRAWINGS: 48

NUMBER OF INDEPENDENT CLAIMS: 6

**NUMBER OF DEPENDENT CLAIMS:** 0

TOTAL NUMBER OF CLAIMS: 6

**PRIORITY CLAIMED:** SEE DECLARATION, FORM PTO/SB/01  
and FORM PTO/SB/02A

**ADDITIONAL DOCUMENTS ACCOMPANYING**

**THIS TRANSMITTAL LETTER:**

1. Utility Patent Application Transmittal Form PTO/SB/05
  2. Declaration for Utility or Design Patent Application Form PTO/SB/01 and Form PTO/SB/02A (a total of 6 sheets)
  3. Fee Transmittal FY 2004 Form PTO/SB/17
  4. Vail's Inventions Check No. 8598 in the amount of \$514.00

TRANSMITTAL LETTER WITH  
REMARKS FOR PATENT APPLICATION  
ENTITLED "HIGH POWER UMBILICALS  
FOR ELECTRIC FLOWLINE IMMERSION  
HEATING OF PRODUCED HYDROCARBONS"

1       5. Self-addressed stamped receipt postcard

2

3       6. Separate Certificate of Deposit by "Express Mail"

4

5

6       PAYMENT OF FEES:

7

8       Vail's Inventions Check No. 8598 in the amount of five  
9       hundred fourteen dollars (\$514.00) is included herein to pay  
10      for the following fees:

11

12      (a) Basic patent fee for Small Entity                   \$ 385.00

13

14      (b) Fee for Independent Claims in  
15                   Excess of three which  
16                   is 3 x \$43.00                           \$ 129.00

17

18      (b) Fee for total claims in excess of                \$ 0.00  
19                   20 which is 0 x \$9.00

20

21

22    Total                           \$ 514.00

23

24

25

26       However, if the applicant has made a mistake on the  
27       payment of any fees herein, applicant requests that any such  
28       deficiencies be billed to Account No. 50-0499 that was  
29       established on 3/20/1998. Fees on patents and patent  
30       applications entirely owned, or owned in part, by William  
31       Banning Vail III may be made from this account. William  
32       Banning Vail III is doing business as an inventor under the  
33       name of "Vail's Inventions". Marilyn L. Vail, the wife of

TRANSMITTAL LETTER WITH  
REMARKS FOR PATENT APPLICATION  
ENTITLED "HIGH POWER UMBILICALS  
FOR ELECTRIC FLOWLINE IMMERSION  
HEATING OF PRODUCED HYDROCARBONS"

1       William Banning Vail III, may also direct that fees be paid  
2       from this Account No. 50-0499. If for unforeseen reasons  
3       funds are not available in that account, please let applicant  
4       know as soon as possible and said deficiencies will be paid  
5       immediately. In the event of overpayment of any fees herein,  
6       applicant respectfully requests that any overpayment be  
7       deposited into Account No. 50-0499.

8

9

10      STATEMENT OF PRIOR ART:

11

12       Applicant is unaware of any additional relevant art in  
13       the field other than that stated in the specification.

14

15

16      STATEMENT OF SMALL ENTITY STATUS: Applicant hereby certifies  
17       that this application is entitled to be filed under a "Small  
18       Entity Status".

19

20

21      REMARKS:

22

23       It is noted by the inventor that the Certificate of  
24       Deposit by "Express Mail" is being used. Therefore, the  
25       filing date of the application is that date when the  
26       application is mailed (December 4, 2003).

27

28       No foreign applications have been filed by applicant  
29       related to this application. However, a PCT application will  
30       be filed shortly related to this application that will be  
31       filed on, or before, December 8, 2003.

32

33       Formal drawings are submitted herein.

TRANSMITTAL LETTER WITH  
REMARKS FOR PATENT APPLICATION  
ENTITLED "HIGH POWER UMBILICALS  
FOR ELECTRIC FLOWLINE IMMERSION  
HEATING OF PRODUCED HYDROCARBONS"

1           Although the First Inventor is Mr. James E. Chitwood,  
2 it has been decided that the Second Named Inventor, myself,  
3 William Banning Vail III, shall be responsible for all  
4 correspondence to, and from, the USPTO.

5

6

7           Pro-Se Case

8

9           This case herein is a pro-se case. Therefore, in the  
10 event that the USPTO objects to any, or all of the claims  
11 herein, applicant respectfully requests assistance from the  
12 Examiner under MPEP Section 707.07(j) to draft an acceptable  
13 claim based upon the disclosure and language in the  
14 application.

15

16           Further, in the event that the Examiner rejects the  
17 claims, applicant requests that Examiner direct applicant  
18 to the claims closest to allowability, and if possible,  
19 applicant further requests that Examiner preliminarily  
20 mark-up one of said claims in a future office action to  
21 further aid applicant to achieve allowability of at least  
22 one claim in an expeditious fashion.

23

24

25           DECLARATION:

26

27           As applicant, I hereby verify that all statements made  
28 herein of my own knowledge are true and that all statements  
29 made on my information and belief are believed to be true;  
30 and further that these statements were made with the  
31 knowledge that willful false statements and the like so made  
32 are punishable by fine or imprisonment, or both, under  
33 Section 1001 of Title 18 of the United States Code and that

*TRANSMITTAL LETTER WITH  
REMARKS FOR PATENT APPLICATION  
ENTITLED "HIGH POWER UMBILICALS  
FOR ELECTRIC FLOWLINE IMMERSION  
HEATING OF PRODUCED HYDROCARBONS"*

1 such wilful false statements may jeopardize the validity of  
2 the application or any patent issuing thereon.

4 This application is filed pro-se. The applicant is  
5 using the book entitled "Patent It Yourself", Ninth Edition,  
6 by David Pressman, and if there are errors, please advise the  
7 inventor, and such errors will be corrected immediately.

10 Please address all correspondence involving this case to  
11 the co-inventor at the below defined address. Thank you.

14 Very respectfully submitted,

17 William Banning Vail III 12/4/2003  
18 William Banning Vail III  
19 Second Named Inventor and  
20 President of Smart Drilling and Completion, Inc.  
21 3123 - 198th Place S.E.  
22 Bothell, Washington 98012  
23 Home Telephone: (425) 486-8789  
24 Home Fax: (425) 482-2013

Date

29 (Note: This is the signature page of the document entitled  
30 "TRANSMITTAL LETTER FOR PATENT APPLICATION WITH REMARKS" for  
31 the U.S. Patent Application entitled "HIGH POWER UMBILICALS  
32 FOR ELECTRIC FLOWLINE IMMERSION HEATING OF PRODUCED  
33 HYDROCARBONS".)

TRANSMITTAL LETTER WITH  
REMARKS FOR PATENT APPLICATION  
ENTITLED "HIGH POWER UMBILICALS  
FOR ELECTRIC FLOWLINE IMMERSION  
HEATING OF PRODUCED HYDROCARBONS"